

FINANCIAL DISCLOSURE REPORT FOR CALENDAR YEAR 2018

Report Required by the Ethics
in Government Act of 1978
(5 U.S.C. app. §§ 101-111)

1. Person Reporting (last name, first, middle initial) Kaplan, Michael B.	2. Court or Organization U.S. Bankruptcy Court	3. Date of Report 06/27/2019
4. Title (Article III judges indicate active or senior status; magistrate judges indicate full- or part-time) Bankruptcy Judge	5a. Report Type (check appropriate type) ☐ Nomination ☐ Date ☐ Initial ☒ Annual ☐ Final 5b. ☐ Amended Report	6. Reporting Period 01/01/2018 to 12/31/2018
7. Chambers or Office Address 241 Clarkson S Fisher Building 402 East State Street Trenton, NJ 08608-1507		
IMPORTANT NOTES: The instructions accompanying this form must be followed. Complete all parts, checking the NONE box for each part where you have no reportable information.		

I. POSITIONS. (Reporting individual only; see pp. 9-13 of filing instructions.)

☐ NONE (No reportable positions.)

POSITION

NAME OF ORGANIZATION/ENTITY

1. Adjunct Professor	Rutgers University School of Law
2.	
3.	
4.	
5.	

II. AGREEMENTS. (Reporting individual only; see pp. 14-16 of filing instructions.)

☐ NONE (No reportable agreements.)

DATE

PARTIES AND TERMS

1. Open ended	Thomson Reuters Publishing Agreement, 5% royalty on sales of Consumer Bankruptcy Manual
2.	
3.	

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III. NON-INVESTMENT INCOME. *(Reporting individual and spouse; see pp. 17-24 of filing instructions.)***A. Filer's Non-Investment Income**☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>	<u>INCOME</u> (yours, not spouse's)
1. 2018	Rutgers-Salary	\$4,919.00
2. 2018	West Services-Royalty	\$2,500.00
3. 2018	National Conference of Bankruptcy	\$6,000.00
4.		

B. Spouse's Non-Investment Income - *If you were married during any portion of the reporting year, complete this section.**(Dollar amount not required except for honoraria.)*☐ NONE *(No reportable non-investment income.)*

<u>DATE</u>	<u>SOURCE AND TYPE</u>
1. 2018	Federation Day Care Services - Salary
2. 2018	Ohev Shalom of Bucks County - Salary
3.	
4.	

IV. REIMBURSEMENTS *-- transportation, lodging, food, entertainment.**(Includes those to spouse and dependent children; see pp. 25-27 of filing instructions.)*☐ NONE *(No reportable reimbursements.)*

<u>SOURCE</u>	<u>DATES</u>	<u>LOCATION</u>	<u>PURPOSE</u>	<u>ITEMS PAID OR PROVIDED</u>
1. ABI	9/20/18 to 9/21/18	Washington, DC	Educational	hotel, travel
2. NCBJ	10/27/18 to 10/21/18	San Antonio, TX	Educational	hotel, travel
3. ABI	2/9/18	Washington, DC	Educational	hotel, travel
4.				
5.				

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V. GIFTS. (Includes those to spouse and dependent children; see pp. 28-31 of filing instructions.)

☒ NONE (No reportable gifts.)

SOURCE	DESCRIPTION	VALUE
1.		
2.		
3.		
4.		
5.		

VI. LIABILITIES. (Includes those of spouse and dependent children; see pp. 32-33 of filing instructions.)

☒ NONE (No reportable liabilities.)

CREDITOR	DESCRIPTION	VALUE CODE
1.		
2.		
3.		
4.		
5.		

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VII. INVESTMENTS and TRUSTS – income, value, transactions (Includes those of spouse and dependent children; see pp. 34-60 of filing instructions.)

☐ NONE (No reportable income, assets, or transactions.)

A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
	(1) Amount Code 1 (A-H)	(2) Type (e.g., div., rent, or int.)	(1) Value Code 2 (J-P)	(2) Value Method Code 3 (Q-W)	(1) Type (e.g., buy, sell, redemption)	(2) Date mm/dd/yy	(3) Value Code 2 (J-P)	(4) Gain Code 1 (A-H)	(5) Identity of buyer/seller (if private transaction)
1. IRA # 1	D	Int./Div.	N	T					
2. -Ameriprise Insured money market	A	Int./Div.	M	T					
3. -SPDR S&P Bank ETF	A	Dividend	K	T					
4. -Verizon Communications common	A	Dividend			Sold	02/06/18	J		
5. -Weyerhaeuser Company common	A	Dividend	J	T					
6. -Cohen Steers Infrastructure Fund common	A	Dividend	J	T	Sold (part)	02/06/18	J		
7. -First Trust Dow Jones Internet ETF		None	J	T					
8. -Invesco Powershares DWA Basis Materials Momentum ETF	A	Int./Div.	J	T					
9. -Raytheon Company common	A	Dividend	J	T					
10. -Royal Caribbean Cruises LTD common	A	Dividend	J	T					
11. -SPDR Series Trust S&P Homebuilders ETF	A	Int./Div.	J	T					
12. -SPDR S&P Aerospace & Defense ETF	A	Int./Div.	J	T					
13. -Waste Management common	A	Dividend	J	T					
14. -VISA Inc common	A	Dividend	J	T					
15. -Altria Group Inc					Buy	01/05/18	J		
16.					Sold	02/09/18	J		
17. -Anthem Inc					Buy	01/05/18	J		

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 I = More than \$5,000,000	E = \$15,001 - \$50,000 J = More than \$50,000,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$5,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

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A. Description of Assets (including trust assets) Place "(X)" after each asset exempt from prior disclosure	B. Income during reporting period		C. Gross value at end of reporting period		D. Transactions during reporting period				
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18. -Biotelemetry Inc					Buy	01/05/18	J		
19. -Blackberry LTD					Buy	01/05/18	J		
20.					Sold	02/02/18	J		
21. -CBOE LTD					Buy	01/05/18	J		
22.					Sold	02/06/18	J		
23. -Caterpillar Inc					Buy	01/05/18	J		
24.					Sold (part)	02/05/18	J		
25.					Buy	02/22/18	J		
26.					Sold (part)	02/28/18	J		
27.					Buy (add'l)	03/08/18	J		
28. -Dollar General Corp					Buy	01/05/18	J		
29.					Sold	02/12/18	J		
30. -Groupon Inc					Buy	01/05/18	J		
31.					Sold	02/09/18	J		
32. -Ishares Iboxx Invest Grade Corp Bond ETF					Buy	01/05/18	J		
33. -LGI Homes Inc					Buy	01/05/18	J		
34.					Sold	01/16/18	J		

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35. -Nvidia Cord					Buy	01/05/18	J		
36. -Square Inc					Buy	01/05/18	J		
37.					Sold	02/09/18	J		
38. -Texas Instruments Inc					Buy	01/05/18	J		
39.					Sold	02/08/18	J		
40. -Thor Industries Inc					Buy	01/05/18	J		
41.					Sold	01/26/18	J		
42. -US Commodity Index Fund					Buy	01/05/18	J		
43. -US Foods Holding Corp					Buy	01/05/18	J		
44. -United Rentals Inc					Buy	01/05/18	J		
45. -Aetna Inc					Buy	02/22/18	J		
46.					Buy (add'l)	03/08/18	J		
47.					Redeemed	11/29/18	J		
48. -CVS Health Corp					Merged (with line 45)	12/06/18	J		
49. -Burlington Stores Inc					Buy	02/22/18	J		
50.					Buy (add'l)	03/08/18	J		
51.					Sold (part)	03/01/18	J		

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52. -Citizens Financial Group Inc					Buy	02/22/18	J		
53.					Buy (add'l)	03/08/18	J		
54.					Sold (part)	03/01/18	J		
55. -Cummins Inc					Buy	02/22/18	J		
56.					Buy (add'l)	03/08/18	J		
57.					Sold (part)	03/01/18	J		
58. -Freeport McMoran Inc					Buy	02/22/18	J		
59.					Buy (add'l)	03/08/18	J		
60.					Sold (part)	03/02/18	J		
61. -Home Depot					Buy	02/22/18	J		
62.					Buy (add'l)	03/08/18	J		
63.					Sold (part)	03/01/18	J		
64. -Ishares S&P GSCI Commodity Index Trust					Buy	02/22/18	J		
65.					Buy (add'l)	03/08/18	J		
66. -Ishares MSCI Eurozone ETF					Buy	02/22/18	J		
67.					Buy (add'l)	03/08/18	J		
68.					Sold (part)	03/01/18	J		

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69. -Ishares Floating Rate Bond ETF					Buy	02/22/18	J		
70.					Buy (add'l)	03/08/18	J		
71. -Ishares MSCI Japan ETF					Buy	02/22/18	J		
72.					Buy (add'l)	03/08/18	J		
73. -Invesco Powershares DB Multi Sector Commodity Trust Base Metal Fund					Buy	02/22/18	J		
74.					Buy (add'l)	03/08/18	J		
75. -Invesco Powershares Senior Loan Port ETF					Buy	02/22/18	J		
76.					Buy (add'l)	03/08/18	J		
77. -Stamps.com Inc					Buy	02/22/18	J		
78.					Buy (add'l)	03/08/18	J		
79.					Sold (part)	02/26/18	J		
80. -US Treasury Note w48	A	Interest	J	T					
81. -US Treasury Note v23	A	Interest	J	T					
82. -US Treasury Note k74	A	Interest	J	T					
83. -US Treasury Note un8	A	Interest	J	T					
84. -US Treasury Note v80	A	Interest	J	T					
85. -US Treasury Note u24	A	Interest	J	T					

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86. -US Treasury Note m80	A	Interest	J	T					
87. -US Treasury Note v98	A	Interest	J	T					
88. -US Treasury Note u57	A	Interest	J	T					
89. -US Treasury Note w71	A	Interest	J	T					
90. -US Treasury Note n30	A	Interest	J	T					
91. -US Treasury Note m56	A	Interest	J	T					
92. IRA # 2	B	Int./Div.	L	T					
93. -Ameriprise Insured money market	A	Int./Div.	K	T					
94. -Verizon Communications common	A	Dividend			Sold	02/06/18	J		
95. -Amazon common		None	J	T					
96. -Alcoa Upstream common					Buy	01/05/18	J		
97.					Sold	02/08/18	J		
98. -Ishares Intermediate Credit Bond ETF	A	Int./Div.			Buy	01/05/18	J		
99. -McDonalds common					Buy	01/05/18	J		
100.					Sold	02/05/18	J		
101. -Invesco Senior Loan Port ETF	A	Int./Div.	J	T	Buy	01/05/18	J		
102.									

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103. -CME Group common	A	Dividend	J	T					
104. -Eagle Materials common	A	Dividend			Sold	02/08/18	J		
105. -3M Company common	A	Dividend	J	T					
106. -US Treasury Note xb1	A	Interest	J	T					
107. -US Treasury Note j27	A	Interest	J	T					
108. -US Treasury Note x70	A	Interest	J	T					
109. Ameriprise Insured Money Market	A	Dividend	K	T					
110. NJ Economic Dev Auth St Pension 2/15/21 Zero Coupon Bond	A	Interest	K	T					
111. Align Technology Inc common		None	J	T					
112. Best of America IV Variable Rate Annuity									
113. -NW NVIT Mny Mkt 1	A	Int./Div.	J	T					
114. -NW NVIT Muti Mgr Mdcap GR 1	A	Int./Div.	J	T					
115. -NW NVIT Mult Mgr Intl GR III	A	Int./Div.	J	T					
116. -NW NVIT Real Est 1	A	Int./Div.	K	T					
117. TIAA 401a									
118. -TIAA Traditional	A	Int./Div.	J	T					
119. -CREF Equity Index R3	A	Int./Div.	J	T					

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120. -CREF Bond Market R3	A	Int./Div.	J	T					
121. -CREF Stock R3	A	Int./Div.	J	T					
122. -CREF Stable Value	A	Int./Div.	J	T					
123. TD Bank	A	Interest	J	T					

1. Income Gain Codes: (See Columns B1 and D4)	A = \$1,000 or less F = \$50,001 - \$100,000	B = \$1,001 - \$2,500 G = \$100,001 - \$1,000,000	C = \$2,501 - \$5,000 H1 = \$1,000,001 - \$5,000,000	D = \$5,001 - \$15,000 H2 = More than \$5,000,000	E = \$15,001 - \$50,000
2. Value Codes (See Columns C1 and D3)	J = \$15,000 or less N = \$250,001 - \$500,000 P3 = \$25,000,001 - \$50,000,000	K = \$15,001 - \$50,000 O = \$500,001 - \$1,000,000	L = \$50,001 - \$100,000 P1 = \$1,000,001 - \$5,000,000 P4 = More than \$50,000,000	M = \$100,001 - \$250,000 P2 = \$5,000,001 - \$25,000,000	
3. Value Method Codes (See Column C2)	Q = Appraisal U = Book Value	R = Cost (Real Estate Only) V = Other	S = Assessment W = Estimated	T = Cash Market	

Name of Person Reporting	Date of Report
Kaplan, Michael B.	06/27/2019

VIII. ADDITIONAL INFORMATION OR EXPLANATIONS. *(Indicate part of report.)*

Part VII, line 45-48: CVS purchased Aetna

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Name of Person Reporting

Kaplan, Michael B.

Date of Report

06/27/2019

IX. CERTIFICATION.

I certify that all information given above (including information pertaining to my spouse and minor or dependent children, if any) is accurate, true, and complete to the best of my knowledge and belief, and that any information not reported was withheld because it met applicable statutory provisions permitting non-disclosure.

I further certify that earned income from outside employment and honoraria and the acceptance of gifts which have been reported are in compliance with the provisions of 5 U.S.C. app. § 501 et. seq., 5 U.S.C. § 7353, and Judicial Conference regulations.

Signature: s/ **Michael B. Kaplan**

NOTE: ANY INDIVIDUAL WHO KNOWINGLY AND WILLFULLY FALSIFIES OR FAILS TO FILE THIS REPORT MAY BE SUBJECT TO CIVIL AND CRIMINAL SANCTIONS (5 U.S.C. app. § 104)

Committee on Financial Disclosure
Administrative Office of the United States Courts
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Washington, D.C. 20544